

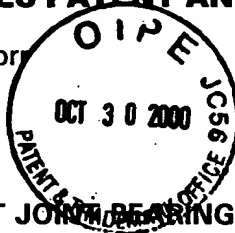
## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Christoph Dorn

Serial No.: 09/640,038

Filed: August 16, 2000

For: BALL-AND-SOCKET JOINT BEARING SHELL



Group No.: 3629

Examiner: Not Assigned

Assistant Commissioner for Patents  
Washington, D.C. 20231

## REQUEST FOR CORRECTED FILING RECEIPT

1. Attached is a copy of the official filing receipt received from the PTO in the above application for which issuance of a corrected filing receipt is respectfully requested.

2. There is an error with respect to the following data, which is:

☐ incorrectly entered

and/or

☒ omitted.

## Error in

- |    |                                     |                             |
|----|-------------------------------------|-----------------------------|
| 1. | <input type="checkbox"/>            | Applicant's name            |
| 2. | <input checked="" type="checkbox"/> | Applicant's address         |
| 3. | <input type="checkbox"/>            | Title                       |
| 4. | <input type="checkbox"/>            | Filing Date                 |
| 5. | <input type="checkbox"/>            | Serial Number               |
| 6. | <input type="checkbox"/>            | Foreign/PCT Application Re: |
| 7. | <input type="checkbox"/>            | Other                       |

## Correct Data

- |    |                     |
|----|---------------------|
| 1. |                     |
| 2. | SCHERMBECK, GERMANY |
| 3. |                     |
| 4. |                     |
| 5. |                     |
| 6. |                     |
| 7. |                     |

## CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. 1.8a)

I hereby certify that this correspondence is, on the date shown below, being:

## MAILING

☒ deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

## FACSIMILE

☐ transmitted by facsimile to the Patent and Trademark Office

Date: October 26, 2000

Signature

Anita J. Galo  
(type or print name of person certifying)

3.

(complete the following applicable item)

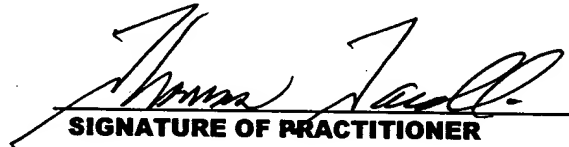
A. ☒ The correction(s) is/are not due to any error by applicant and no fee is due.

**OR**

B. ☐ At least one of the above corrections is due to applicant's error and the fee therefore, under 37 C.F.R. 1.19(h), of \$25.00 is paid as follows:

☐ Enclosed is a check for \$25.00.

☐ Charge Account 20-0090 \$25.00

  
**SIGNATURE OF PRACTITIONER**

Reg. No.: 20,177

Tel. No.: (216) 621-2234

Thomas L. Tarolli  
(type or print name of practitioner)

Tarolli, Sundheim, Covell,  
Tummino & Szabo L.L.P.  
1111 Leader Building  
526 Superior Avenue  
P.O. Address  
Cleveland, OH 44114-1400

OCT 24 2000

OCT 30 2000



TAROLLI, SUNDHEIM, COVELL, TUMMINO &amp; SZABO

UNITED STATES PATENT AND TRADEMARK OFFICE

 COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
 www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO.	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/640,038	08/16/2000	3629	690	TRW(EHR) 05042	4	16	1

 Tarolli Sundheim Covell Tummino & Szabo LLP  
 1111 Leader Building  
 Cleveland, OH 44114


## FILING RECEIPT



\*OC000000005481193\*

Date Mailed: 10/17/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Christoph Dorr, Residence, NOT PROVIDED;

## Continuing Data as Claimed by Applicant

## Foreign Applications

GERMANY DE 199 38 770.2 08/16/1999

If Required, Foreign Filing License Granted 10/17/2000

## Title

Ball-and-socket joint with bearing shell

## Preliminary Class

403

Data entry by : BARNES, CAROL

Team : OIPE

Date: 10/17/2000

file://C:\APPS\PreExam\correspondence\1\_A.xml

10/17/00

**LICENSE FOR FOREIGN FILING UNDER**  
**Title 35, United States Code, Section 184**  
**Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

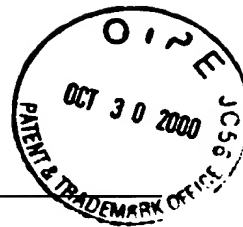
**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231

Practitioner's Docket N. TRW(EHR)5042



PATENT

secret

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Christoph Dorr

Application No.: 09/640,038

Group No.: 3629

Filed: August 16, 2000

Examiner: Not Assigned

For: BALL-AND-SOCKET JOINT WITH BEARING SHELL

**Box Missing Part**  
**Assistant Commissioner for Patents**  
**Washington, D.C. 20231**

**COMPLETION OF FILING REQUIREMENTS**  
**NONPROVISIONAL APPLICATION**

(check and complete this item, if applicable)

- I. ☒ This replies to the Notice to File Missing Parts of Application (PTO-1533) mailed October 17, 2000.

**NOTE:** If these papers are filed before the office letter issues, adequate identification of the original papers should be made, e.g., in addition to the name of the inventor and title of invention, the filing date based on the "Express Mail" procedure, the serial number from the return post card or the attorney's docket number added.

- ☒ A copy of the Notice to File Missing Parts of Application—Filing Date Granted (Form PTO-1533) is enclosed.

**NOTE:** The PTO requires that a copy of Form PTO-1533 be returned with the response to the notice to file missing parts to the application.

**CERTIFICATE OF MAILING/TRANSMISSION (37 CFR 1.8(a))**

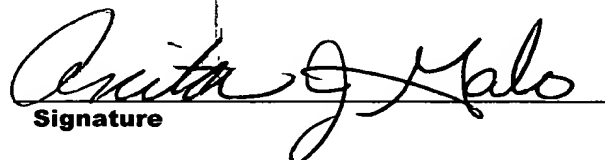
I hereby certify that this correspondence is, on the date shown below, being:

**MAILING**

☒ deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

**FACSIMILE**

☐ transmitted by facsimile to the Patent and Trademark Office

  
**Signature**

Date: October 26, 2000

Anita J. Galo  
(type or print name of person certifying)

## DECLARATION OR OATH

- II. ☒ No declaration or oath was filed. Enclosed is the original declaration or oath for this application.

**NOTE:** If the correct inventor or inventors are not named on filing a nonprovisional application under § 1.53(b) without an executed oath or declaration under § 1.63, the later submission of an executed oath or declaration under § 1.63 during the pendency of the application will act to correct the earlier identification of inventorship. 37 C.F.R. § 1.48(f)(1).

## OR

- ☐ The declaration or oath that was filed was determined to be defective. A new original oath or declaration is attached.

**NOTE:** For surcharge fee for filing declaration after filing date complete item VI(3) below.

**NOTE:** "The following combinations of information supplied in an oath or declaration filed after the filing date are acceptable as minimums for identifying a specification and compliance with any one of the items below will be accepted as complying with the identification requirement of 37 CFR 1.63:

"(A) application number (consisting of the series code and the serial number, e.g., 08/123,456);

"(B) serial number and filing date;

"(C) attorney docket number which was on the specification as filed;

"(D) title which was on the specification as filed and reference to an attached specification which is both attached to the oath or declaration at the time of execution and submitted with the oath or declaration; or

"(E) title which was on the specification as filed and accompanied by a cover letter accurately identifying the application for which it was intended by either the application number (consisting of the series code and the serial number, e.g., 08/123,456), or serial number and filing date. Absent any statement(s) to the contrary, it will be presumed that the application filed in the PTO is the application which the inventor(s) executed by signing the oath or declaration."

M.P.E.P. § 601.01(a), 7<sup>th</sup> Ed.

**NOTE:** Another minimum found acceptable in the declaration is the filing date (i.e., date of express mail) and the express mail number, useful where the serial number is not yet known. But note the practice where the express mail deposit is a Saturday, Sunday or holiday within the District of Columbia. 37 C.F.R. 1.10(c).

(complete (c) or (d), if applicable)

Attached is a

- (c) ☐ Statement by a registered attorney that the application filed in the PTO is the application that the inventor executed by signing the declaration.
- (d) ☐ Statement that the "attached" specification is a copy of the specification and any amendments thereto that were filed in the PTO to obtain the filing date.

## AMENDMENT CANCELLING CLAIMS

- III. ☐ Cancel claims \_\_\_\_\_ inclusive.

**TRANSMITTAL OF ENGLISH TRANSLATION  
OF NON-ENGLISH LANGUAGE PAPERS**

- IV.** ☐ Submitted herewith is an English translation of the non-English language application papers as originally filed. Also submitted herewith is a statement by the translator of the accuracy of the translation. It is requested that this translation be used as the copy for examination purposes in the PTO.

*NOTE: Fee for processing a non-English application, complete item VI(5) below.*

*NOTE: A non-English oath or declaration in the form provided by the PTO need not be translated. 37 C.F.R. 1.69(b).*

**OTHER DOCUMENTS**

**V.**

- (a) ☐ Attached is an Information Disclosure Statement, PTO-Form 1449 and ( ) references.
- (b) ☒ Attached is a request for a corrected filing receipt along with a copy of the official filing receipt received from the PTO in the above-identified patent application for which issuance of a corrected filing receipt is respectfully requested herewith.
- (c) ☐ Preliminary Amendment
- (d) ☒ Certified Copy of prior German Application No. 199 38 770.2, filed August 16, 1999, from which priority is being claimed in the subject application is attached.

**SMALL ENTITY STATUS**

**VI.**

- ☐ A statement that this filing is by a small entity  
(check and complete applicable items)
- ☐ is attached.
- ☐ A separate refund request accompanies this paper.
- ☐ was filed on \_\_\_\_\_ (original).

**COMPLETION OF FEES**

**VII.**

**WARNING:** Failure to submit the surcharge fees where required will cause the application to become abandoned. 37 C.F.R. 1.53.

*NOTE: For effect on fees of failure to establish status, or change status, as a small entity, see 37 C.F.R. 1.28(a).*

**1. Filing fee**

- ☐ original patent application  
(37 C.F.R. § 1.16(a)--\$710.00; small entity--\$355.00) \$ \_\_\_\_\_
- ☐ design application  
(37 C.F.R. § 1.16(f)--\$320.00; small entity--\$160.00) \$ \_\_\_\_\_

2. Fees for Claims

- ☐ each independent claim in excess of 3  
(37 C.F.R. § 1.16(b)--\$80.00; small entity--\$40.00) \$ \_\_\_\_\_
- ☐ each claim in excess of 20  
(37 C.F.R. § 1.16(c)--\$18.00; small entity--\$9.00) \$ \_\_\_\_\_
- ☐ multiple dependent claim(s)  
(37 C.F.R. § 1.16(d)--\$270.00; small entity--\$135.00) \$ \_\_\_\_\_

3. Surcharge fees

- ☐ late payment of filing fee

and/or

- ☒ late filing of original declaration or oath  
(37 C.F.R. § 1.16(e)--\$130.00; small entity--\$65.00); \$130.00

NOTE: Even where a facsimile declaration or oath signed by the inventor(s) was part of the originally filed papers, the surcharge fee is required.

NOTE: If both the filing fee and declaration or oath were missing from the original papers, only one surcharge fee for both need be paid. 37 C.F.R. 1.16(e).

4. ☐ Petition and fee for filing by other than all the inventors or a person not the inventor  
(37 C.F.R. §§ 1.17(i) and 1.47--\$130.00) \$ \_\_\_\_\_

5. ☐ Fee for processing an application filed with a specification in a non-English language  
(37 C.F.R. §§ 1.17(k) and 1.52(d)--\$130.00) \$ \_\_\_\_\_

6. ☐ Fee for processing and retention of application  
(37 C.F.R. §§ 1.21(l) and 1.53(d)--\$130.00) \$ \_\_\_\_\_

7. ☒ Assignment (See "ASSIGNMENT COVER SHEET".) \$ 40.00

NOTE: 37 C.F.R. § 1.21(l) establishes a fee for processing and retaining any application which is abandoned for failing to complete the application pursuant to 37 C.F.R. 1.53(f) and this, as well as, the changes to 37 C.F.R. §§ 1.53 and 1.78 indicate that in order to obtain the benefit of a prior U.S. application, either the basic filing fee or the processing and retention fee of § 1.21(l) within 1 year of notification under § 1.53(f) must be paid.

Total completion fees \$170.00



## EXTENSION TERM

### VIII.

(complete (a) or (b), as applicable)

The proceedings herein are for a patent application, and the provisions of 37 C.F.R. § 1.136(a) apply.

- (a) ☐ Applicant petitions for an extension of time, the fees for which are set out in 37 C.F.R. § 1.17(a)(1)-(4), for the total number of months checked below:

Extension (months)	Fee for other than small entity	Fee for small entity
<input type="checkbox"/> one month	\$ 110.00	\$ 55.00
<input type="checkbox"/> two months	\$ 390.00	\$195.00
<input type="checkbox"/> three months	\$ 890.00	\$445.00
<input type="checkbox"/> four months	\$1,390.00	\$695.00

Fee \$ \_\_\_\_\_

If an additional extension of time is required, please consider this a petition therefor.  
(check and complete the next item, if applicable)

- ☐ An extension for \_\_\_\_\_ months has already been secured, and the fee paid therefor of \$ \_\_\_\_\_ is deducted from the total fee due for the total months of extension now requested.

Extension fee due with this request \$ \_\_\_\_\_

OR

- (b) ☒ Applicant believes that no extension of term is required. However, this conditional petition is being made to provide for the possibility that applicant has inadvertently overlooked the need for a petition and fee for extension of time.

### TOTAL FEE DUE

### IX.

The total fee due is

Completion fee(s) \$170.00 \_\_\_\_\_

Extension fee (if any) \$0.00 \_\_\_\_\_

Total Fee Due \$170.00 \_\_\_\_\_

### PAYMENT OF FEES

### X.

- ☒ Enclosed is a check in the amount of \$170.00 \_\_\_\_\_
- ☐ Charge Account No. 20-0090 \_\_\_\_\_ in the amount of \$ \_\_\_\_\_  
A duplicate of this request is attached.

NOTE: Fees should be itemized in such a manner that it is clear for which purpose the fees are paid. 37 C.F.R. § 1.22(b).

Please charge Account No. 20-0090 \_\_\_\_\_ for any fees that may be due by this paper.

## AUTH RIZATI N T CHARGE ADDITI NAL FEES

### XI.

**WARNING:** Accurately count claims, especially multiple dependent claims, to avoid unexpected high charges if extra claims are authorized.

**NOTE:** "Amounts of twenty-five dollars or less will not be returned unless specifically requested within a reasonable time, nor will the payer be notified of such amounts; amounts over twenty-five dollars may be returned by check or, if requested, by credit to a deposit account." 37 C.F.R. § 1.26(a).

☒ The Commissioner is hereby authorized to charge the following additional fees that may be required by this paper and during the pendency of this application to Account No. 20-0090

☒ 37 C.F.R. § 1.16(a), (f) or (g) (filing fees)

☒ 37 C.F.R. § 1.16(b), (c) and (d) (presentation of extra claims)

**NOTE:** Because additional fees for excess or multiple dependent claims not paid on filing or on later presentation must only be paid or these claims cancelled by amendment prior to the expiration of the time period set for response by the PTO in any notice of fee deficiency (37 C.F.R. § 1.16(d)), it might be best not to authorize the PTO to charge additional claim fees, except possibly when dealing with amendments after final action.

☒ 37 C.F.R. § 1.16(e)(surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application)

☒ 37 C.F.R. § 1.17(a)(1)-(5) (extension fees pursuant to § 1.136(a))

☐ 37 C.F.R. § 1.17 (application processing fees)

**NOTE:** "A written request may be submitted in an application that is an authorization to treat any concurrent or future reply, requiring a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. An authorization to charge all required fees, fees under § 1.17, or all required extension of time fees will be treated as a constructive petition for an extension of time in any concurrent or future reply requiring a petition for an extension of time under this paragraph for its timely submission. Submission of the fee set forth in § 1.17(a) will also be treated as a constructive petition for an extension of time in any concurrent reply requiring a petition for an extension of time under this paragraph for its timely submission." 37 C.F.R. § 1.136(a)(3).

☐ 37 C.F.R. § 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 C.F.R. § 1.311(b))

**NOTE:** Where an authorization to charge the issue fee to a deposit account has been filed before the mailing of a Notice of Allowance, the issue fee will be automatically charged to the deposit account at the time of mailing the notice of allowance. 37 C.F.R. § 1.311(b).

**NOTE:** 37 C.F.R. 1.28(b) requires "Notification of any change in loss of entitlement to small entity status must be filed in the application . . . prior to paying, or at the time of paying. . . issue fee . . ." From the wording of 37 C.F.R. § 1.28(b): (a) notification of change of status must be made even if the fee is paid as "other than a small entity" and (b) no notification is required if the change is to another small entity.

  
**SIGNATURE OF PRACTITIONER**

Thomas L. Tarolli  
(type or print name of attorney)

Reg. No.: 20,177

Tel. No.:(216) 621-2234

Tarolli, Sundheim, Covell  
Tummino, & Szabo L.L.P.  
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## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/640,038	08/16/2000	Christoph Dorr	TRW(EHR)05042

Tarolli Sundheim Covell Tummino & Szabo LLP  
1111 Leader Building  
Cleveland, OH 44114



## FORMALITIES LETTER



\*OC000000005481194\*

Date Mailed: 10/17/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

11/02/2000 SDUONG 00000084 09640038

01 FC:195

130.00 OP